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ABSTRACT

The program Performance Evaluation for Non-Teaching Professionals at the State University of New York Institute of Technology at Utica/Rome provides periodic assessments as required by institutional policy. The system is intended to establish a standard for judging quality of an employee's work and a rational and uniform basis for appraising performance, with the further objective of facilitating performance improvement, reevaluation of job functions, reappointment decisions, and promotions and salary increases. Communication between employee and supervisor is an essential element of the program. The annual evaluation is based on conformity to a formal performance program developed by the supervisor, and follows a process of (1) preliminary evaluation; (2) discussion of a new performance program, which forms the basis for the next performance evaluation; (3) final evaluation; and (4) distribution of the final, written evaluation and new performance program to appropriate individuals. A performance rating appeal procedure is also incorporated in the program. Program and evaluation forms are attached. (MSE)

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PERFORMANCE EVALUATION FOR NON-TEACHING PROFESSIONALS

SUNY Institute of Technology
at
Utica/Rome

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HE 023 208

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AASCU/ERIC Model Programs Inventory Project

The AASCU/ERIC Model Programs Inventory is a two-year project seeking to establish and test a model system for collecting and disseminating information on model programs at AASCU-member institutions--375 of the public four-year colleges and universities in the United States.

The four objectives of the project are:

- To increase the information on model programs available to all institutions through the ERIC system
- To encourage the use of the ERIC system by AASCU institutions
- To improve AASCU's ability to know about, and share information on, activities at member institutions, and
- To test a model for collaboration with ERIC that other national organizations might adopt.

The AASCU/ERIC Model Programs Inventory Project is funded with a grant from the Fund for the Improvement of Postsecondary Education to the American Association of State Colleges and Universities, in collaboration with the ERIC Clearinghouse on Higher Education at The George Washington University.

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The basis of the required periodic performance evaluation system is contained in the Memorandum of Understanding between the State University of New York and the Professional Services Negotiating Unit of the United University Professionals Inc. The evaluation requires supervisors to prepare a performance program for each non-teaching professional subordinate and to evaluate the performance based on the program agreed upon in the previous year. The purpose of this evaluation process is to establish a standard for judging the quality of an employee's work and a rational and uniform basis for appraising performance.

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PERFORMANCE EVALUATION - NON-TEACHING PROFESSIONALS

The basis for requiring periodic evaluations of professional employees is contained in Article XII of the Policies of the Board of Trustees. Specific provisions relating to the University's policy for performance evaluations for professional employees are contained in the Memorandum of Understanding (1981) between the University and the bargaining agent for the Professional Services Negotiating Unit. Although the original memorandum was promulgated in 1972, under Article 33 of the 1971-74 Agreement between the State and the former Senate Professional Association, the memorandum enforced currently was promulgated in 1981 as a result of Article 30 of the 1979-82 agreement with U.U.P. In most instances, the language of these procedures is taken from the provisions of this Memorandum of Understanding except where it was felt that further clarification was required.

APPLICABILITY OF EVALUATION PROCEDURE: The specific provisions of the Memorandum of Understanding apply to all non-teaching professional employees on a term and probationary appointment. In addition, under local policy, supervisors are required to evaluate NTP's on temporary and permanent appointment.

PURPOSES OF EVALUATION: The purpose of our performance program and evaluation system is to provide a background to establish a standard for judging quality of an employee's work and a rational and uniform basis for appraising the performance of non-teaching professional employees in order to:

1. *Provide a basis for performance improvement.*
2. *Serve as a guide to re-evaluate job functions.*

3. Provide a basis for career growth.
4. Provide the college president with consultation in making a decision to renew or non-renew a professional employee's appointment.
5. Provide the college president with consultation in decisions regardiny promotions and discretionary salary increases.

An essential element of the performance evaluation process is communication, especially two-way communication between the employee and the immediate supervisor. The formal evaluation should be an expression of a continuing day-to-day evaluation process.

Consistent with the agreement cited above, the formal performance evaluation must be based on a performance program which has been reduced to writing. Performance program and evaluation should be thoroughly discussed by the employee and the immediate supervisor before either document is completed and forwarded through channels.

PERFORMANCE PROGRAM

Under the Memorandum of Understanding the performance of a professional employee must be appraised in relation to a formal performance program. Developing a performance program is the responsibility of the immediate supervisor and begins with a clear understanding of the duties and responsibilities of the position and the expectation and objectives which need to be accomplished. The immediate supervisor should be guided by the following in preparing a performance program:

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- *Responsibility: Each immediate supervisor as designated by the president is responsible for developing a performance program consistent with the Memorandum of Understanding for all professional employees who work under his/her supervision.*

- *Frequency: Upon the initial appointment of the non-teaching professional, the immediate supervisor is required to develop an initial draft of a performance program within the first thirty calendar days of the professional employee's appointment. In addition, the Memorandum requires that the performance program be completed and signed by the employee and the supervisor within fifteen working days of the initial consultation with the employee. For non-teaching employees currently employed, performance programs must be completed in conjunction with the performance evaluation on an annual basis. In addition, as circumstances warrant, the supervisor and professional employee are required to meet to review the appropriateness of the elements of the performance program. Modifications of the performance program by the immediate supervisor should be reduced to writing, signed, dated, and attached to the current performance program as appropriate.*

If as part of the informal ongoing evaluation process the immediate supervisor identifies a continuing need for the improvement in the employee's performance, it is the responsibility of the supervisor to discuss this with the employee without delay and specific suggestions for improvement should be made. It is encouraged that the latter be reduced to writing.

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PERFORMANCE PROGRAM PROCEDURE: A standard performance program instrument entitled "Non-teaching Professional Performance Program" has been developed to guide the immediate supervisor in preparing the performance program for professional employees. (See Exhibit 1)

1. *Initial Consultation: The evaluation process begins with the development of the performance program based on a discussion between the supervisor and the professional employee concerning the following:*

   a. *The Nature of the Employee's Duties and Responsibilities: This should consist of a list of summarized general duties and major responsibilities of the position to which the employee is assigned. This list should indicate the highlights of the job, the role of the job within the unit, and the frequency with which certain duties are performed.*

   b. *Supervisory Relationships: The professional employee should understand who assigns and directs his/her work and who appraises his/her performance. There should also be an understanding concerning the positions to be supervised in the supervisory relationship.*

   c. *Functional Relationships: The program should note other functional and/or lateral relationships both within and outside the department.*

   d. *Short- and Long-term Objectives: The immediate supervisor should describe his/her expectations as they relate both to regular, routine, or ongoing objectives and to problem-solving or innovative objectives. Attention should be given to the objectives which should be achieved during the evaluation period as well as long-term objectives which may cover two or more years. In addition, the immediate supervisor should describe the standards by which the objectives should be met and upon which the professional employee will be evaluated at a later date.*

e. *Criteria for Evaluating Achievement of the Objectives, Particular Duties and Responsibilities: As they relate to particular duties and responsibilities and objectives to which the professional employee is assigned, the following criteria, where applicable, should be among those on which the evaluation is based:*

- *Effectiveness in Performance: As demonstrated, for example, by success in carrying out assigned duties and responsibilities, attitude, efficiency, productivity, and relationship with colleagues.*
- *Mastery of Specialization: As demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.*
- *Professional Ability: As demonstrated, for example, by invention or innovation in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.*
- *Effectiveness in University Service: As demonstrated, for example, by such things as successful committee work, participation in local campus and University governance, and involvement in campus- or University-related student or community activities.*
- *Continuing Growth: As demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs, and research.*

NOTE: It should be noted that the foregoing criteria and examples thereof are presented for the descriptive and explanatory purposes only and are in no way intended to be all-inclusive or to limit the immediate supervisor in the determination of the appropriate criteria for evaluation. If you wish to add or delete criteria by which the professional employee will be evaluated, attach a separate sheet to the performance program instrument.

f. Consultation with Secondary Sources: As part of the discussion with the professional employee, the immediate supervisor shall consider the extent to which secondary sources such as other agencies, offices, or individuals will be involved with the performance of the employee and may affect the employee's ability to achieve the stated objectives. After consultation with the professional employee, the immediate supervisor shall identify in the performance program the secondary sources to be considered as part of the evaluation process and the relationship between the secondary source and the professional employee. It should be further noted at this time that a summary of the information received from this secondary source will be required of the immediate supervisor at the time the performance evaluation is prepared.

2. Final Review Meeting:

a. Written Performance Program: After the initial consultation with the professional employee, the immediate supervisor will reduce to writing the result of such discussion into a performance program. The report shall constitute the performance program on which the formal evaluation for the ensuing evaluation period will be based.

b. Acknowledgment - Signing: The immediate supervisor and the professional employee must sign and date the program. While it is preferable that the supervisor and the employee agree on the performance content, by signing the program the employee is only acknowledging that he/she has read and received a copy of the program. Under the Memorandum of Understanding, if the supervisor and employee do not concur on the performance program, the employee has the right to attach a statement to the performance program within ten working days from receipt.

c. Distribution: The immediate supervisor distributes the copies of the performance program as follows:

- Original - Sent to the Personnel Office to the official personnel file within five days from the signing.

- *Employee - At time of signing*
- *Evaluator's supervisor*
- *Retained by the immediate supervisor*

3. *Modification of Performance Program: As circumstances warrant, the immediate supervisor and the professional employee should meet to review the appropriateness of the elements of the performance program. Modifications of the performance program should be specified in writing in accordance with procedure outlined previously for preparing the original performance program.*

PERFORMANCE EVALUATION

The formal evaluation of a non-teaching professional employee should be an expression of the continuing day-to-day evaluation process governed by the following requirements:

- *Responsibility: Each immediate supervisor is designated by the president and is responsible for evaluating the performance of the professional employee who works under his/her supervision on an annual basis. Such performance evaluation shall be conducted for the purposes described previously and at regular intervals specified below.*
- *Frequency: The performance of each professional employee, without regard to employee status, is to be formally evaluated by the immediate supervisor once each year during the length of the employee's appointment and as changing conditions warrant. Consistent with the Memorandum of Understanding, the performance evaluation of*

each non-teaching professional employee will be completed. It should be noted that program evaluations which must contain a recommendation pertaining to the employee's reappointment shall be conducted no later than forty-five days prior to the date upon which notice of non-renewal is due.

NOTE: The Personnel Office will maintain a schedule for initiating appropriate notice to a department to commence the evaluation process. Nothing in this section shall prevent the immediate supervisor from informally evaluating, on a periodic basis, the performance of professional employees who work under his/her supervision.

EVALUATION PROCEDURE: A standard performance evaluation instrument entitled "NTP Performance Evaluation" has been developed to guide supervisors in preparing a formal evaluation and provide a vehicle for recording the summary rating. (See Exhibit 2) In addition to the information appearing on the instrument, the immediate supervisor should be guided by the following in preparing the formal evaluation.

1. Preliminary Evaluation and New Performance Program: The immediate supervisor shall prepare a preliminary evaluation report and new performance program and discuss said reports with the professional employee. The evaluation report should include the following elements:

   a. A substantive, narrative appraisal of the employee's performance, assessing it in relation to the employee's official performance

program. The narrative appraisal must be based on the performance criteria identified in the performance program. Special attention should be given when preparing the narrative portion of the performance evaluation that comments are based on the performance program, specifically, the short-term and long-term objectives, duties and responsibilities, etc.

b. *In preparing the summary of information from the secondary sources identified in the performance program, the immediate supervisor should be cautious not to use names of individuals who have provided information relative to the performance of the professional employee. A synopsis of the information in general terms is sufficient.*

c. *The immediate supervisor should, when appropriate, identify commendable performance and/or areas in need of improvement in the "additional comments" category.*

d. *A summary characterization of the employee's performance must be made as either "satisfactory" or "unsatisfactory."*

e. *Consistent with the Memorandum of Understanding, a performance program for the forthcoming evaluation period must be attached to the final performance evaluation.*

f. *In the event that a professional employee will be considered for renewal or non-renewal of his/her temporary or term appointment or will be considered for a permanent appointment, the immediate supervisor is required to provide the employee a copy of the written recommendation. The recommendation must accompany the evaluation report.*

NOTE: If an immediate supervisor proposes to evaluate an NTP as "unsatisfactory," he/she should discuss the proposed evaluation with his/her supervisor who will transmit the draft proposed evaluation through

the supervisory channels to the appropriate vice president for review. After the draft evaluation has been returned through channels from the vice president, it will become the preliminary evaluation and will be discussed with the employee as prescribed by the Memorandum of Understanding.

2. New Performance Program: Prior to concluding the discussion, the immediate supervisor and the professional employee shall discuss a new performance program which shall become part of a final, written evaluation report and which shall become the basis for the next formal evaluation of the professional employee's performance.

3. Final Evaluation: After concluding the discussions with his/her professional employee concerning the preliminary evaluation, the immediate supervisor shall prepare a final, written evaluation which should include the same elements as listed above for the preliminary evaluation. In addition, the supervisor should prepare a final, new performance program. The performance evaluation and performance program instruments are available in the Personnel Office. (Exhibits 1 and 2) Once a final, written evaluation and new program have been completed, the following steps should be taken:

   a. The immediate supervisor should meet with the professional employee to discuss the contents of the final, written evaluation to include the new performance program. It is important at this time that the professional employee understand the performance evaluation as well as the new program.

b. *Both the employee and the immediate supervisor should sign and date the final performance evaluation and the performance program and distribute the final performance evaluation and new performance program to the appropriate offices and individuals within five days from the signing of the instruments.*

4. *Distribution: Both the final, written performance evaluation and the new performance program should be distributed as follows:*

- *Original is sent to the Personnel Office for inclusion into the official personnel file.*
- *The employee receives a copy.*
- *The evaluator (immediate supervisor) receives a copy.*
- *The evaluator's supervisor receives a copy.*

APPEAL OF RATING

Appeal of an "Unsatisfactory" Rating: A professional employee who intends to seek a review of a final evaluation report characterized as "unsatisfactory" must inform, in writing, the immediate supervisor, the chair of the committee on professional evaluation, and the college president or his designee within ten working days of the receipt of the evaluation report. Forms are available in the Personnel Office for this purpose.

Upon being notified that the professional employee is requesting a review, the immediate supervisor shall, within five working days, provide the chair of the committee on professional evaluation a dated copy of the final evaluation report.

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The Process of Review: The committee on professional evaluation established pursuant to the Memorandum of Understanding shall, upon the request of a professional employee, review a final evaluation characterized as "unsatisfactory." The committee review shall address both the procedure and the substance of the unsatisfactory evaluation period. As part of its review, the committee, at its discretion:

a. Shall have access to all previous formal evaluations of the professional employees concerned;

b. May request and consider any additional comments by either the immediate supervisor or the professional employee;

c. May request information pertinent to the review from secondary sources;

d. May request that the immediate supervisor and/or the appellant meet with the committee and respond to inquiries.

e. Shall be free to call upon any other individual whom they believe has information relative to the evaluation. All individuals shall be encouraged to cooperate with the committee if so requested.

Disposition of Committee: Following this review, the committee shall prepare a written recommendation within twenty-five working days from the date of appeal and forward said report to:

- Original - college president
- Professional employee
- Immediate supervisor
- Evaluator's supervisor

Within ten working days of the issuance of the report, the college president shall take such action as he/she deems appropriate and shall give written notice of such action to the professional employee, the immediate supervisor, the evaluator's supervisor and the committee on

professional evaluation. Action by the president on recommendations which are contained in the final evaluation report and which affect a professional employee's employment shall be final. However, failure of the committee to initiate and complete a timely review shall not prevent the college president from acting upon recommendations in the final evaluation report to conform with notice requirements in the event of non-renewal of term appointments.

SUNY College of Technology at Utica/Rome

EXHIBIT I

NON-TEACHING PROFESSIONAL PERFORMANCE PROGRAM

EMPLOYEE NAME _____ PERFORMANCE PROGRAM FOR THE PERIOD

DEPARTMENT _____ ___/___/____ TO ___/___/____

BUDGET TITLE _____ CAMPUS TITLE _____

INITIAL APPT. DATE _____ APPT. DATE TO TITLE _____

IMMEDIATE SUPERVISOR NAME _____

DEPARTMENT _____

TITLE _____

DIRECTIONS: Using as a guide, the policies and procedures contained in your Personnel Manual, prepare a performance program for each NTP. Use additional sheets, if necessary.

I. THE NATURE OF THE PROFESSIONAL EMPLOYEE'S DUTIES AND RESPONSIBILITIES: (Brief Position Description)

II. SUPERVISORY RELATIONSHIPS:

(1) Who Supervises the employee? (2) Who does this employee supervise?

III. FUNCTIONAL RELATIONSHIPS:
(Primary offices this person works with)

IV. a) SHORT-TERM OBJECTIVES:
(Objectives to be achieved during the evaluation period)

b) LONG-TERM OBJECTIVES
(Re: development of programs, professional development, participation in University activities, improvement of certain administrative skills, etc.)

V. THE MEASUREMENT (EVALUATIVE CRITERIA) TO BE USED TO DETERMINE IF THE DUTIES, RESPONSIBILITIES, AND OBJECTIVES SPECIFIED IN THE EMPLOYEE PERFORMANCE PROGRAM HAVE BEEN ACHIEVED. The criteria outlined below are examples presented for descriptive and explanatory purposes only. If you wish to establish criteria, they should be included in this area. Check (✓) where appropriate.

( ) Effectiveness in Performance (As demonstrated, for example, by success in carrying out assigned duties and responsibilities, efficiency, productivity, and relationship with colleagues.)

( ) Mastery of Specialization (As demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.)

( ) Professional Ability (As demonstrated, for example, by invention or innovation in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.)

( ) Effectiveness in University Service (As demonstrated, for example, by such things as successful committee work, participation in local campus and University governance, and involvement in campus- or University-related student or community activities.)

( ) Continuing Growth (As demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs, research, improved job performance and increased duties and responsibilities.)

( ) Other (Attitudes, cooperation, dependability, movitivation, etc.) Explain below.

VI. EXTENT TO WHICH SECONDARY SOURCES SHALL BE CONSULTED AS PART OF EVALUATION. (Secondary sources are agencies, offices, or individuals which will be involved with the performance of the employee and may affect the employee's ability to achieve the stated objectives. Identify specifically. If individuals are used, identify by title NOT name.)

THIS IS TO SIGNIFY THAT I HAVE READ AND UNDERSTAND THE ABOVE PERFORMANCE PROGRAM.*

Professional Employee (NTP) Signature _____ Date _____

Immediate Supervisor Signature _____ Date _____

*If the supervisor and the employee do not concur on the performance program, the employee has the right to attach a statement to the performance program within ten working days from receipt.

DISTRIBUTION: Original - Official Personnel File
Copies - Employee, Evaluator, Evaluator's Supervisor

EXHIBIT II

SUNY College of Technology at Utica/Rome

NTP PERFORMANCE EVALUATION

EMPLOYEE NAME:_____ EVALUATION FOR THE PERIOD:

DEPARTMENT:_____ _____TO _____

BUDGET TITLE:_____ Current Performance Program was signed on ___/___/___. Amendment to existing program, if appropriate, was signed on ___/___/___.

CAMPUS TITLE:_____

INITIAL APPT. DATE:_____ APPT. DATE TO TITLE _____

IMMEDIATE SUPERVISOR'S (EVALUATOR) NAME:_____

DEPARTMENT:_____

TITLE:_____

EVALUATION

I. The following criteria may not be all inclusive and are not intended to limit the supervisor in his/her determination of appropriate criteria for the performance evaluation. Please comment (narrative) on each of the below with specific attention given the job description and performance objectives listed in the official performance program. If different or additional criteria were established in the current performance program, you may attach additional sheets where appropriate.

EFFECTIVENESS IN PERFORMANCE (As demonstrated, for example, by success in carrying out assigned duties and responsibilities, efficiency, productivity and relationship with colleagues.)

MASTERY OF SPECIALIZATION (As demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.)

PROFESSIONAL ABILITY (As demonstrated, for example, by invention or innovation in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.)

EFFECTIVENESS IN UNIVERSITY SERVICE (As demonstrated, for example, by such things as successful committee work, participationin local campus and University governance and involvement in campus- or University-related student or community activities.)

CONTINUING GROWTH (As demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs, research, improved job performance, and increased duties and responsibilities.)

OTHER (Attitudes, cooperation, dependability, motivation, etc.) Explain below:

II. SUMMARY OF INFORMATION FROM SECONDARY SOURCES IDENTIFIED IN THE PERFORMANCE PROGRAM. (In general terms, provide a synopsis of the information.)

III. ADDITIONAL COMMENTS: In this area identify commendable performance and/or areas in need of improvement.

IV. SUMMARY:

A. Overall Performance Rating:

☐ Satisfactory ☐ Unsatisfactory

B. Comments/recommendations to the evaluator's supervisor:

Is this an annual evaluation which is accompanying a recommendation for renewal or non-renewal of an appointment?

☐ Yes ☐ No

If yes, your recommendation is:

☐ Renewal of an appointment

☐ Non-renewal of an appointment

☐ Permanent appointment

☐ Other_____
(Please list)

COMMENTS:_____

_____

_____

_____

_____ _____
NAME/TITLE DATE

V. I have read and understand this report and have discussed its contents with my supervisor. My signature does not necessarily represent agreement.

_____ _____
EMPLOYEE'S SIGNATURE DATE

NOTE: A copy of the New Performance Program must be attached.

DISTRIBUTION: Original - Official Personnel File
Copies - Employee, Evaluator, Evaluator's Supervisor

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